



2874 IFW

Attorney's Docket No.: 42P10601PatentIn re the Application of: Nikonov et al.

(inventor(s))

Application No.: 09/982,227Filed: October 17, 2001For: AN INTEGRATED OPTICAL CIRCUIT HAVING AN INTEGRATED ARRAYED WAVEGUIDE  
GRATING (AWG) AND OPTICAL AMPLIFIER(S)

(title)

Mail Stop Amendment  
COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

SIR: Transmitted herewith is a Response and Amendment for the above-referenced application.

Applicant claims small entity status. See 37 CFR 1.27.

XX No additional fee is required.

The fee has been calculated as shown below:

	(Col. 1)		(Col. 2)	(Col. 3)
	Claims Remaining After Amd.		Highest No. Previously Paid For	Present Extra
Total Claims	* 15	Minus	** 30	0
Indep. Claims	* 2	Minus	*** 7	0
<b>First Presentation of Multiple Dependent Claim(s)</b>				

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest No. Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

## SMALL ENTITY

Rate	Additional Fee
X9	\$
X43	\$
+145	\$
Total Add. Fee	\$

OTHER THAN A  
SMALL ENTITY

Rate	Additional Fee
X18	\$ 0
X86	\$ 0
+290	\$
Total Add. Fee	\$ 0

## CERTIFICATE OF MAILING BY FIRST CLASS MAIL (if applicable)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450

on May 27, 2004  
Date of DepositAdrian Villarreal

Name of Person Mailing Correspondence

  
SignatureMay 27, 2004  
Date

\_\_\_\_\_ A check in the amount of \$ \_\_\_\_\_ is attached for presentation of additional claim(s).  
\_\_\_\_\_ Applicant(s) hereby Petition(s) for an Extension of Time of \_\_\_\_\_ month(s) pursuant to  
37 C.F.R. § 1.136(a).  
\_\_\_\_\_ A check for \$ \_\_\_\_\_ is attached for processing fees under 37 C.F.R. § 1.17.  
\_\_\_\_\_ Please charge my Deposit Account No. 02-2666 the amount of \$ \_\_\_\_\_.  
**A duplicate copy of this sheet is enclosed.**  
X The Under Secretary of Commerce for Intellectual Property and Director of the United States  
Patent and Trademark Office is hereby authorized to charge payment of the following fees associated  
with this communication or credit any overpayment to Deposit Account No. 02-2666 **(a duplicate copy  
of this sheet is enclosed):**  
    X Any additional filing fees required under 37 C.F.R. § 1.16 for presentation of  
        extra claims.  
    X Any extension or petition fees under 37 C.F.R. § 1.17.

Date: May 27, 2004

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42P10601

*Patent*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Nikonov et al. ) Examiner: Wong, Eric K.  
Serial No. 09/982,227 ) Art Unit: 2874  
Filed: October 17, 2001 )  
For: AN INTEGRATED OPTICAL CIRCUIT )  
HAVING AN INTEGRATED ARRAYED )  
WAVEGUIDE GRATING (AWG) AND )  
OPTICAL AMPLIFIER(S) )

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Commissioner for Patents  
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**RESPONSE AND AMENDMENT UNDER 37 C.F.R. §§ 1.111 AND 1.121**

Sir:

In response to the Office Action mailed February 27, 2004, the Applicants submit the following Amendment and Remarks. Claim Amendments begin on page 2 of this paper. Amendments to the Drawings begin on page 5. The Remarks begin on page 6 of this paper.

It is not believed that extensions of time are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned under 37 C.F.R. §1.136(a). Any fees required therefore are hereby authorized to be charged to Deposit Account No. 02-2666. Please credit any overpayment to the same deposit account.

Kindly enter the following Amendments and consider the following Remarks.